

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION

COMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

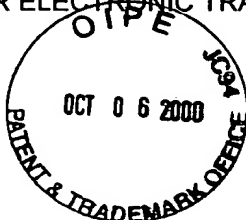
Attn: Application Division

Inventor(s): CLAXTON et al.

Appln. No.: 09 492,459 Atty.Dkt. PM 265648 RM4  
Series Code ↑ Serial No. ↑ M# Client Ref

Filed: January 27, 2000

Title: RELIANCE MANAGER FOR ELECTRONIC TRANSACTION SYSTEM



Hon. Asst. Commissioner of Patents  
Washington, DC 20231

Date: October 6, 2000

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received  
2. ☒ Signed Declaration attached. ☒ Original ☒ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.  
2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.  
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:  
a. ☐ Abstract  
b. #  pages of Specification (only spec. & claims)  
c. ☐ Drawing(s) ☐ Fig(s). No of Sheets   
10/10/2000 MMARMOL 00000035 09492459  
04 FC:118 1390.00 0P

4. ☐ Letter filing formal drawing attached.  
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.  
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/118,379	29 JAN 1999	(2) 09/206,381	7 DEC 1998
(3) 09/206,466	19 FEB 1998	(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

Application N .	Filing Date	Applicati n N .	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(b)

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. ☐ Attached: \_\_\_\_\_ (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.
11. ☐ Attached: \_\_\_\_\_
12. ☐ Preliminary Amendment: \_\_\_\_\_

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee C de
13. Basic Filing Fee .....				Design Application \$320/\$160		106/26
				Not Design Application \$710/\$355	+710	101/201
14. Total Effective Claims	28	minus 20 =	8	x \$18/\$9	+144	103/203
15. Independent Claims	2	minus 3 =	0	x \$80/\$40	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18. <b>FILING FEE ENCLOSED =</b>					<b>\$984</b>	
19. <b>Original due date:</b> June 7, 2000						
20. <b>Petition is hereby made</b> to extend the original due date to				(1 mo)	\$110/\$55 =	+1390
cover the date this response is filed for which the requisite fee				(2mos)	\$390/\$195 =	115/215
is attached				(3mos)	\$890/\$445 =	116/216
				(4mos)	\$1390/\$695 =	117/217
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee .....				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. <b>TOTAL FEE ENCLOSED =</b>					<b>\$2414</b>	

Our Deposit Account No. 03-3975

Our Order No. 61047

265648

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP**  
**Intellectual Property Group**

1100 New York Avenue, NW  
 Ninth Floor  
 Washington, DC 20005-3918  
 Tel: (202) 861-3000  
 Atty/Sec: BS/kim

By Atty: Brian SirtzkyReg. No. 37497Sig: [Signature]Fax: (202) 822-0944Tel: (202) 861-3702**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

#3

## FORMALITIES LETTER



\*OC000000005036918\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/492,459	01/27/2000	Allen Claxton	PM 265648

Pillsbury Madison & Sutro LLP  
Intellectual Property Group  
1100 New York Avenue N. W.  
Ninth Floor  
Washington, DC 20005-3918



Date Mailed: 04/07/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$144.  
■ \$144 for 8 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 964.**

*A copy of this notice **MUST** be returned with the reply.*

*Everett Williams*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/10/2000 MMARMOL 00000035 09492459

01 FC:101  
02 FC:105  
03 FC:103

710.00 OP  
130.00 OP  
144.00 OP